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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/392,106	09/08/1999	G. MICHAEL PHILLIPS	35512-00006	9570

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EXAMINER

BASHORE, ALAIN L

ART UNIT	PAPER NUMBER
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2164

DATE MAILED: 02/27/2002

Please find below and/or attached an Office communication concerning this application or proceeding.

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# Office Action Summary

Application No.

09/392,106

Applicant(s)

G. MICHAEL PH ILLIPS ET AL.

Examiner

Alain L. Bashore

Art Unit

2164

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 08 September 1999.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-24 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-24 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 08 September 1999 is/are: a) ☐ accepted or b) ☒ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

## Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☒ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) \_\_\_\_\_.
- 4) ☐ Interview Summary (PTO-413) Paper No(s) \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

## DETAILED ACTION

### *Drawings*

1. The drawings are objected to because in figures 1-3 there is material presented in the web page illustrations under "today's feature story" which is not considered appropriate for the drawings. A series of characters, lines, or a section of applicant's description of the related art is suggested as replacements, all of which would not be new matter. A proposed drawing correction or corrected drawings are required in reply to the Office action to avoid abandonment of the application. The objection to the drawings will not be held in abeyance.

### *Specification*

2. The disclosure is objected to because of the following informalities:

The summary of the invention is objected to as failing to provide a summary that is brief and commensurate with the invention as claimed. Any object of the invention should be that of the invention as claimed. Below is a description of the content suggested for the summary:

Brief Summary of the Invention: See MPEP § 608.01(d). A brief summary or general statement of the invention as set forth in 37 CFR 1.73. The summary is separate and distinct from the abstract and is directed toward the invention rather than the disclosure as a whole. The summary may point out the advantages of the invention or how it solves problems previously existent in the prior art (and preferably indicated in the Background of the Invention). In chemical cases it should point out in general terms the utility of the invention. If possible, the nature and gist of the invention or the inventive concept should be set forth. Objects of the invention should be treated briefly and only to the extent that they contribute to an understanding of the invention.

Appropriate correction is required.

***Claim Rejections - 35 USC § 112***

3. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

4. Claims 8-12, 18-23 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

In claims 8-9, 18-19 there is recited "other manner" which is not clear since there is no clear definition of "manner".

In claims 10, 12, 20, 22 there is recited "similar" which is considered infinite since this is a relative term.

In claims 11, 21 there is recited "actual value" which is confusing since there is recited earlier "predicting a value".

In claims 11 and 21 there is claimed "a measure of information" which is unclear as to what is the measure or what is the information.

In claim 23, The recitation "said process steps comprising steps to:" is confusing as to whether applicant is claiming a computer-readable medium or a process.

***Claim Rejections - 35 USC § 103***

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

6. Claims 1-4, 6-8, 10-18, 20-24 are rejected under 35 U.S.C. 103(a) as being unpatentable over Sandretto.

Sandretto discloses a method, apparatus and computer-readable medium for predicting a value of a target variable based on predictions of other variables. There is obtained historical values for the target variable at each of plural time points. Previously predicted values are obtained and currently predicted values for each of plural predictor variables. Values are inherently assigned to parameters of a forecasting model to obtain a best fit of the previously predicted values for the plural predictor variables to the historical values for the target variables. A value of the target value is predicted, from currently predicted values for at least a subset of the plural predictor variables using the forecasting model and the values assigned to the parameters of the forecasting model. The target variable is a measure of a value of a financial asset. Sandretto teaches utilizing regression techniques for assigning parameters of a forecasting model (4, lines 60-67; col5, lines 1-19).

If in an alternative interpretation, the values to Sandretto to are not inherently assigned to parameters of the forecasting model, it is the examiner's position that it would have been obvious to one with ordinary skill in the art to modify Sandretto to include such since Sandretto teaches various models which require parameters to be used.

Sandretto does not appear to explicitly disclose the specific regression techniques of claims 3-4, 15.

It would have been obvious to one with ordinary skill in the art to utilized the claimed regression techniques of claims 3-4, and 15 to Sandretto, since statistical curve fitting, stepwise linear, and non-linear are all known in the statistical art per se and Sandretto teaches utilizing statistical methods as a continuing focus in the art (col 6, lines 60-67).

7. Claims 5 is rejected under 35 U.S.C. 103(a) as being unpatentable over Sandretto as applied to claims 1-4, 6-8, 10-18, 20-24 above, and further in view of Barr et al.

Sandretto does not disclose a neural networks technique.

Barr et al discloses neural network technique for predicting a measure of a financial asset. It would have been obvious to one with ordinary skill in the art to utilize a neural network technique to Sandretto since Barr et al teaches advantages of using such techniques (col 2, lines 40-67).

8. Claims 9 and 19 are rejected under 35 U.S.C. 103(a) as being unpatentable over Sandretto as applied to claims 1-4, 6-8, 10-18, 20-24 above, and further in view of the admitted prior art.

The admitted prior art discloses that combination forecasts are known in the art per se (pages 7-8). It is the examiner's position that it would have been obvious to one with ordinary skill in the art to utilize combination forecasts instead of the forecast model in Sandretto because both references teach forecasts models, in absence of expected or unobvious results.

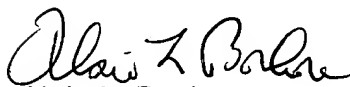
**Conclusion**

9. The prior art made of record to: Makivic, Tull, Jr. et al, O'Shaughnessy, Barber, Giansante et al, and Dembo are not relied upon, but is considered pertinent to applicant's disclosure.

10. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Alain L. Bashore whose telephone number is 703-308-1884. The examiner can normally be reached on about 7:30 am to 5:00 pm (Alternate Fridays Off).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Vincent Millin can be reached on 703-308-1065. The fax phone numbers for the organization where this application or proceeding is assigned are 703-746-7239 for regular communications and 703-746-7238 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703-305-3900.

  
Alain L. Bashore  
February 19, 2002

  
VINCENT MILLIN  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2100